Electronic A	cknowledgement Receipt
EFS ID:	3342578
Application Number:	10632818
International Application Number:	
Confirmation Number:	5247
Title of Invention:	Auction system and method for pricing and allocation during capital formation
First Named Inventor/Applicant Name:	William R. Hambrecht
Customer Number:	2101
Filer:	Robert Asher
Filer Authorized By:	
Attorney Docket Number:	2955/107
Receipt Date:	22-MAY-2008
Filing Date:	04-AUG-2003
Time Stamp:	12:28:20
Application Type:	Utility under 35 USC 111(a)
Payment information:	-1
Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$120

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$120
RAM confirmation Number	8686
Deposit Account	194972
Authorized User	

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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.
		dcg2955107 Election.pdf	143992		
'		dcgz955107_Election.pdi	16791e7bl4b536a083fe8e411665ff79d eb68ede	yes	4

# Multipart Description/PDF files in .zip description

1	Document Description	Start	End
	Miscellaneous Incoming Letter	1	2
	Response to Election / Restriction Filed	3	4

# Warnings:

2	Fee Worksheet (PTO-06)	fee-info.pdf	8165	no	2
			58bd05elc		

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## New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

#### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

#### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the international Application Number and of the international Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.